CheckPoint™

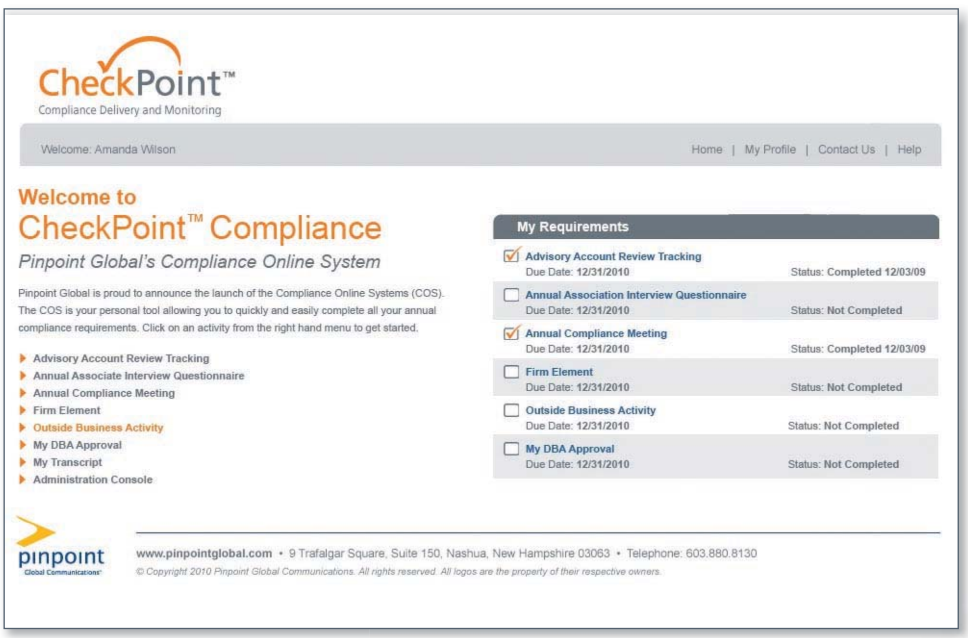
Compliance Delivery and Monitoring

Simplify Your Compliance Delivery and Monitoring

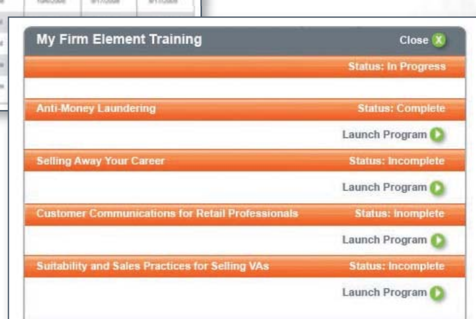
Meet your total compliance delivery and monitoring needs with CheckPoint. Pinpoint's comprehensive solution allows you to manage the entire supervisory control process quickly and easily. Provided in a managed service model, CheckPoint provides home office and field personnel online, 24x7 easy-to-use tools and programs to satisfy their compliance requirements, while giving Chief Compliance Officers and their compliance staff instant, real-time status reports to verify both individual and organizational requirements are being met.

The system utilizes Pinpoint's state-of-the-art software platform and infrastructure which can include both client content and content from leading industry organizations—LIMRA, National Underwriter, and STC. All content is integrated into Pinpoint's compliance system to provide real-time tracking and reporting so supervisory personnel (including CCOs and CEOs) have instant access to reports from a company, branch or individual level.

Find out why you need CheckPoint to simplify your **Compliance Delivery and Monitoring!**



Compliance Summary Report



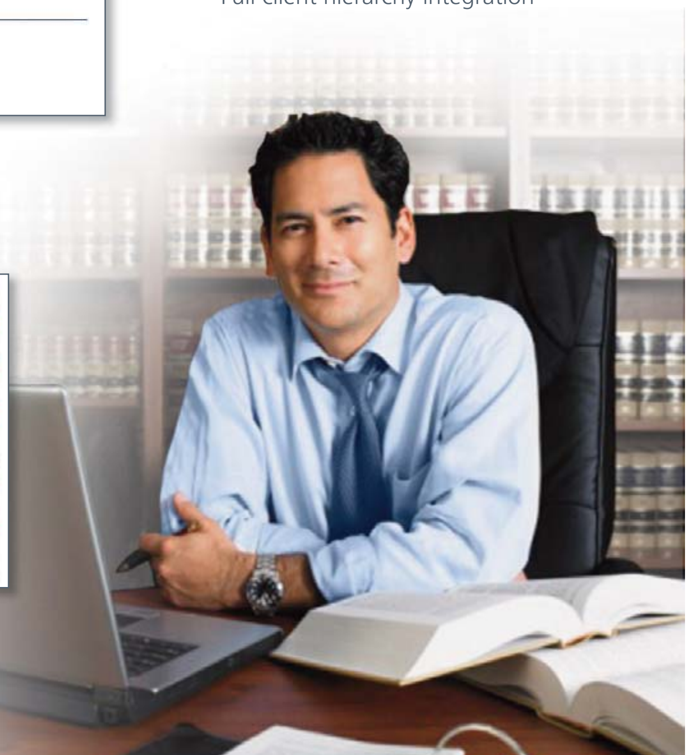
Firm Element

Why CheckPoint

- Satisfy FINRA requirements
- Replace paper-based processes
- Centralized real-time reporting
- Deliver compliance content 24x7
- Reduce compliance costs
- No additional infrastructure needed
- Monitor compliance activities of the entire organization
- SEC 17a-4 compliant

Supported Functionalities

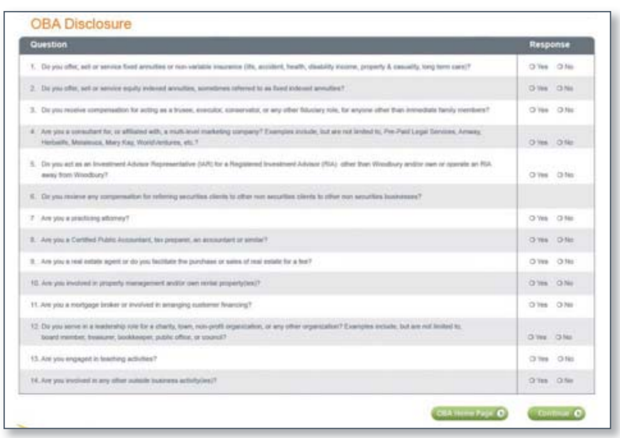
- ACM, ACQ, OBA, DBA, Firm Element and other requirements integrated into one delivery system
- Real-time delivery
- Customizable smart forms
- Configurable review and approval process
- Reporting dashboards
- Automatic email reminders and system flags
- Full client hierarchy integration



CheckPoint Features

Feature	Benefit
SEC 17a-4 compliant	Meet SEC requirements for information storage and retrieval; No additional infrastructure need or cost to firms for storage of information; valid for any audit
Centralized reporting	Access activity status instantly from firm level down to individual level to meet SEC and FINRA audit requirements. (testing and monitoring requirements Rules 3012, 3013, SEC 38a-1)
Online, on-demand, 24x7	Save travel costs, no out of field lost sales time, convenient scheduling
Online forms (WSP, OBA, ACQ)	Gain instant access to desired forms, completion status, and location in the process
Routing and approval process	Send forms for review and approval in real-time
Online Annual Compliance Meeting	Deliver the ACM online, satisfying FINRA Rule 3010(a)(7)
Firm Element training catalog	Access and assign both partner content or client developed content
CE training and administration supported	Offer state CE credits to enhance value of client provided or off the shelf courseware
Configurable personnel hierarchy support	Tailor the system to meet the exact structure of client's field and home office hierarchy for access and reporting
Complete User Profiles including	Target required activities automatically based on license type licensing and designations
Email notifications and system flags	Get instant notification on events in the system critical to remaining in compliance
Managed service model	Flexibility and reduced infrastructure costs to handle peak loads

Example Forms, Programs, Reports



OBA
Pinpoint's "smart form" technology enables firms to configure OBA questions and review/approval process to their requirements.

OBA Work Queue
Provides OSJs and authorized compliance personnel instant access to individual registered representatives OBA's for review and approval/denial.

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